



**SOUTHWEST EDUCATIONAL DEVELOPMENT LABORATORY**  
**Southeast Comprehensive Assistance Center (SECAC)**  
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## Training in the Principles of Effectiveness



### GOALS and OBJECTIVES

As a result of the training in Effective Prevention Models, participants will:

- ☛ Identify the components of a comprehensive safe, violence and drug-free school.
- ☛ Apply the Principles of Effectiveness identified by the U.S. Department of Education to future selection of prevention models
- ☛ Identify characteristics of effective, research-based drug abuse and violence prevention curricula
- ☛ Apply training skills to local programs related to:
  - ☐ Identifying Needs Assessment data sources, methods and question categories
  - ☐ Writing Goals, Objectives and Performance-based Indicators
  - ☐ Identifying Criteria to be used selecting promising and effective programs
  - ☐ Creating an evaluation plan that includes collection of process and outcome measurements

### AGENDA

<b>DAY ONE</b>	8:30 AM	Registration
	9:00 AM	Orientation to Training and Introductions
	10:15 AM	BREAK
	10:25 AM	Review of Four Principles of Effectiveness and Nonregulatory Guidelines
	12:00 PM	LUNCH
	1:00 PM	Completing Needs Assessments
	2:45 PM	BREAK
	4:00 PM	Adjournment
<b>DAY TWO</b>	9:00 AM	Analysis of Needs Assessment Data
	10:00 AM	BREAK
	10:10 AM	Writing Goals, Objectives and Performance Indicators
	11:00 AM	Comprehensive Safe, Drug-free School Programs
	12:00 PM	LUNCH
	12:45 PM	Identifying Criteria to Determine Promising, Effective Programs and Strategies
	1:15 PM	Effective Programs and Strategies
	2:30 PM	Creating a Intentional Evaluation Plan Using A Logic Model
	3:55 PM	Evaluation and Adjournment

This workshop was developed under U.S. Department of Education Grant No. S283A50004. Any opinions, findings, conclusions and recommendations in this workshop are those of the developer and do not necessarily reflect the views of the U.S. Department of Education.

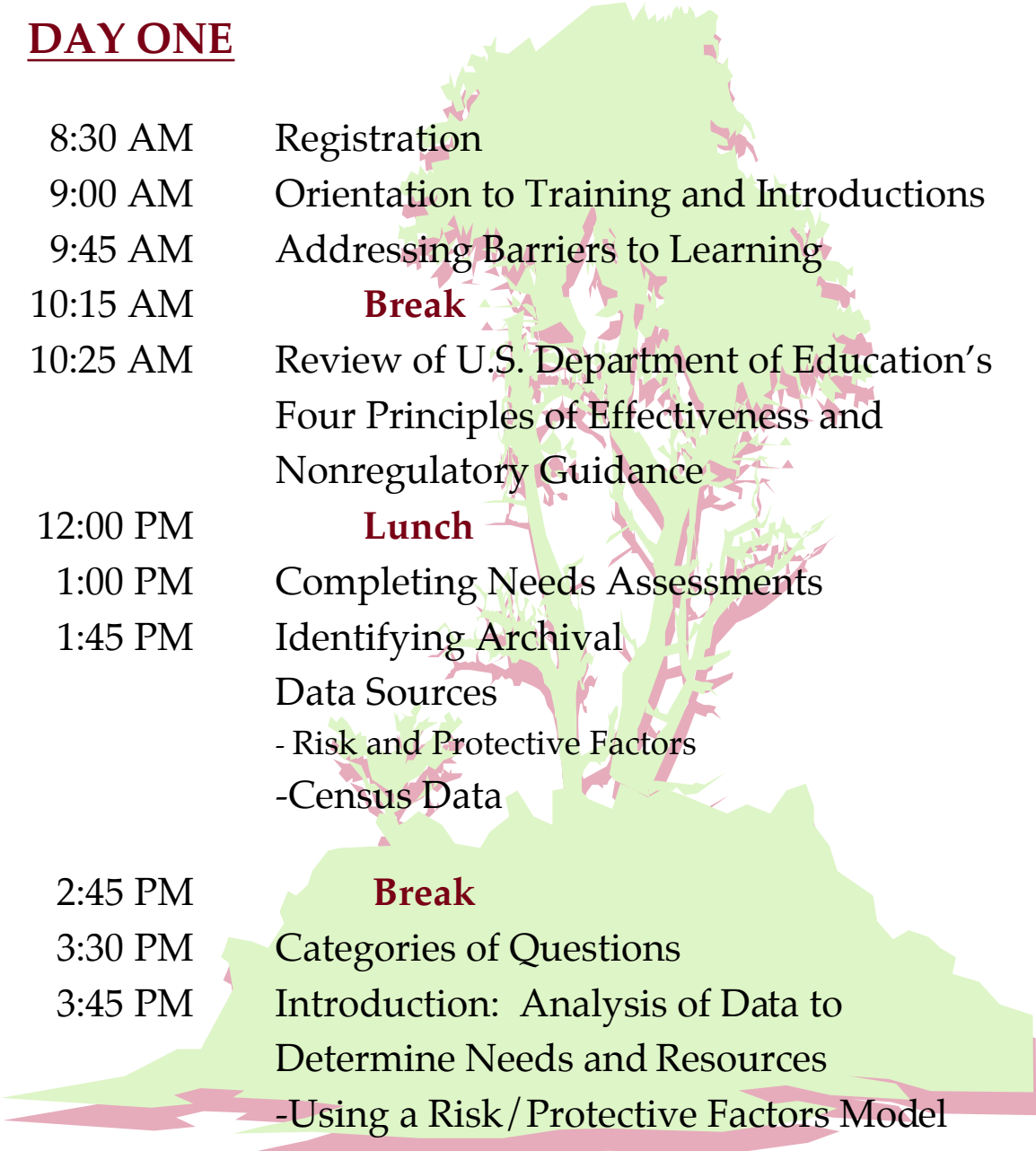
AN EQUAL EMPLOYMENT OPPORTUNITY/AFFIRMATIVE ACTION EMPLOYER



# Training in Effective Prevention Principles

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## DAY ONE



8:30 AM	Registration
9:00 AM	Orientation to Training and Introductions
9:45 AM	Addressing Barriers to Learning
10:15 AM	<b>Break</b>
10:25 AM	Review of U.S. Department of Education's Four Principles of Effectiveness and Nonregulatory Guidance
12:00 PM	<b>Lunch</b>
1:00 PM	Completing Needs Assessments
1:45 PM	Identifying Archival Data Sources - Risk and Protective Factors - Census Data
2:45 PM	<b>Break</b>
3:30 PM	Categories of Questions
3:45 PM	Introduction: Analysis of Data to Determine Needs and Resources - Using a Risk/Protective Factors Model
4:00 PM	Adjournment



# Training in Effective Prevention Principles

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## DAY TWO

9:00 AM	Analysis of and Presentation of Needs Assessment Data
10:00 AM	<b>BREAK</b>
10:10 AM	Writing Goals, Objectives and Performance Indicators
11:00 AM	What is a Comprehensive Safe, Violence and Drug-free Schools?
12:00 PM	<b>LUNCH</b>
12:45 PM	Identifying Criteria to Determine Promising, Effective Programs and Strategies
1:15 PM	Effective Programs and Strategies
2:30 PM	Creating an Intentional Evaluation Plan Using A Logic Model
3:55 PM	Evaluation of Training, Wrap-up
4:00 PM	Adjournment

# CHECKLIST FOR REVIEW OF YOUR SDFS&C PROGRAM

Revised from: Pennsylvania Department of Education. (1997) 1997-1998 SDFS&C Application -- Checklist for Review of Program and Budget.  
(Available from: Pennsylvania Department of Education. 333 Market Street. Harrisburg, PA 17126-0333)

Use this list to check the degree to which your program is meeting the Principles for Effectiveness.

A    NI    NA                      Check A = Acceptable, NI= Needs Improvement or NA = Not Acceptable

## Prevention Program Information

- |                          |                          |                          |   |
|--------------------------|--------------------------|--------------------------|---|
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Identified problem (indicators) areas/needs   |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Identified coordination with Goals 2000 and others federal programs related to prevention |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Measurable Progress included/ progress evaluations noted/public reporting plan included   |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Identifies coordination with community  |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Identifies coordination with local programs (health, state and federal)                   |

## Statement of Intended, Achievable Results as Objectives

- |                          |                          |                          |  |
|--------------------------|--------------------------|--------------------------|--|
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Objectives are related to the needs/indicators   |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Objectives and performance indicators are measurable                                   |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Objectives and performance indicators are not listed as activities                     |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Objectives and performance indicators are related to prevention research and/or theory |

## Activities

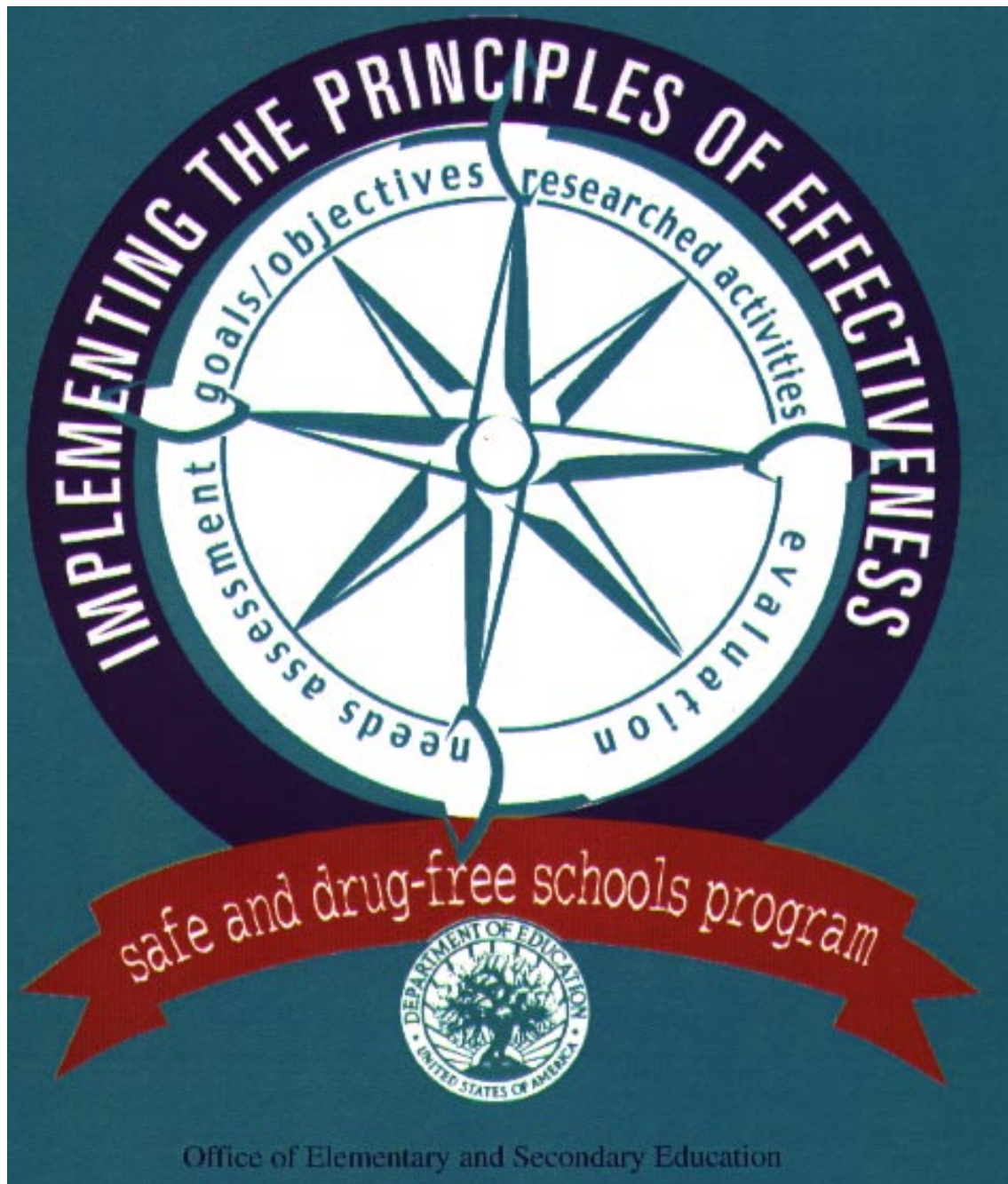
- |                          |                          |                          |   |
|--------------------------|--------------------------|--------------------------|---|
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Activities are directly related to stated objectives and performance indicators     |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Activities are age appropriate  |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Activities are ATOD research-based (as intended by the Principles of Effectiveness) |

## Outcomes

- |                          |                          |                          |   |
|--------------------------|--------------------------|--------------------------|---|
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Expected Outcomes coincide directly with the one or more of the objectives and indicators |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | All outcomes are measurable   |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | The method of measurement for each outcome has been identified                            |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Level of effectiveness of each activity can be measured by it's outcome.                  |

## Evaluation Methods

- |                          |                          |                          |   |
|--------------------------|--------------------------|--------------------------|---|
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Evaluation data source is verifiable.   |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Evaluation methods are directly related to indicators, objectives, activities and outcome measures. |





## Background: THE 1994 REAUTHORIZATION OF ESEA

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- ◆ When ESEA was reauthorized, there was much effort to provide **GREATER FLEXIBILITY** at the state education agency level [example: Schoolwide, etc.] and local education agency level [school, district].







## Background: THE 1994 REAUTHORIZATION OF ESEA (cont.)

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♦ But in exchange there is a need for **INCREASED ACCOUNTABILITY** for achieving **MEASURABLE** results.

\*\*\*US Department of Education has a responsibility to promote the most effective use of limited resources.





# Principles of Effectiveness

*The Department of Education has announced that the following Principles of Effectiveness will govern recipients' use of fiscal year 1998 and future years' funds received under Title IV- State and local programs of the Elementary and Secondary Education Act the Safe and Drug-Free Schools and Communities Act (SDFSCA) State Grants Program. The Principles of Effectiveness take effect on July 1, 1998.*

<p><b>Principle 1:</b> <b><i>Conducting Needs Assessments</i></b></p> <p>A grant recipient shall base its program on a thorough assessment of objective data about the drug and violence problems in the schools and communities served.</p>	<p><b>Principle 2:</b> <b><i>Setting Measurable Goals and Objectives</i></b></p> <p>A grant recipient shall, with the assistance of a local or regional advisory council, which includes community representatives, establish a set of measurable goals and objectives, and design its activities to meet those goals and objectives.</p>
<p><b>Principle 3:</b> <b><i>Effective Research-Based Programs</i></b></p> <p>A grant recipient shall design and implement its activities based on research or evaluation that provides evidence that the strategies used prevent or reduce drug use, violence, or disruptive behavior.</p>	<p><b>Principle 4:</b> <b><i>Program Evaluation</i></b></p> <p>A grant recipient shall evaluate its program periodically to assess its progress toward achieving its goals and objectives and use its evaluation results to refine, improve, and strengthen its program and to refine its goals and objectives as appropriate.</p>

(The Four Principles of Effectiveness, as posted in the Federal Register of June 1, 1998.)





# Nonregulatory Guidance Related to Principles of Effectiveness

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## Safe and Drug-Free Schools and Communities Act State Grants for Drug and Violence Prevention Program

Nonregulatory Guidance for Implementing the  
SFDSCA Principles of Effectiveness



U.S. Department of Education  
Office of Elementary and Secondary Education  
safe and Drug-Free Schools program

May, 1998

<http://www.ed.gov/offices/OESE/SDFS/nrgfin.pdf>



# PRINCIPLE 1

## Key Points

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### ◆ Needs Assessment

- Base programs on a thorough assessment of objective data about the drug and violence problems in the schools and communities served.
  - Build on existing data collection efforts
  - Examine available objective data from a variety of sources, including law enforcement and public health officials.
- Assess the needs of all segments of the youth population.



# PRINCIPLE 2

## Key Points

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### ♦ Measurable Goals and Objectives

- Design the SDFC to meet goals and objectives.
  - With the assistance of a local or regional advisory council, establish a set of measurable goals and objectives.
  - Develop goals and objectives that focus on behavioral or attitudinal program outcomes, as well as on program implementation.
  - Develop goals and objectives that permit determination of the extent to which programs are effective in reducing or preventing drug use, violence or disruptive behavior among youth.



# PRINCIPLE 3

## Key Points

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### ◆ Effective Research-based Programs

- Design and implement programs for youth based on research or evaluation that provides evidence that the programs used prevent or reduce drug use, violence or disruptive behavior among youth.
- Review the breadth of available research and evaluation literature and replicate these programs in a manner consistent with their original design.



# U.S. Department of Education's Definition of PROGRAM

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**PROGRAM**  
**can mean:**

**Prevention Activity**

**Project Activity**

**Strategy**





# PRINCIPLE 4

## Key Points

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### ♦ Evaluation

- To periodically assess progress of programs towards achieving goals and objectives; and determine whether they are reasonable or already met .
- To refine, improve and strengthen programs, and to refine goals and objectives as appropriate.
- Assess programs and use the information about program outcomes and fidelity of replication to re-evaluate existing program efforts.



## PRINCIPLE 4

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### ◆ Evaluation (cont.)

- **Discontinue** the use SDFSCA funds to implement programs that cannot demonstrate positive outcomes in terms of
  - reducing or preventing drug use, violence, or disruptive behavior among youth, or other behaviors or
  - attitudes demonstrated to be precursors to or predictors of drug use or violence.
- Report to the public on progress toward attaining measurable goals and objectives for drug and violence prevention.





### 3 - R's (Resistant and Reluctant Reactions) to the US DoE "Principles of Effectiveness."

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- ♦ "I don't know what is an effective, research-based model."
- ♦ "We don't have enough money to adopt one of the new, effective, research-based models."
- ♦ "I've only got a \$12,000 grant. All these new requirements don't make it worth it."
- ♦ "But I know my program works. Students and parents tell me how good it is."
- ♦ "I'm not a math major. How can they expect me to do assessments and evaluations?"
- ♦ "I run the programs. Let someone else do the evaluations."
- ♦ "Who decides when to measure the effectiveness of a program."
- ♦ "Collecting enough surveys will be impossible with parental consent requirements."
- ♦ "I don't have the time to do it."



# How is it similar to other reforms?

**Schools must demonstrate that they have a comprehensive program with components listed below:**

- ◆ Effective, research-based methods
- ◆ Measurable goals and benchmarks
- ◆ Parental and community involvement
- ◆ On-going evaluation strategies
- ◆ Non-fragmented, aligned curriculum
- ◆ On-going and sustained professional development
- ◆ Staff buy-in
- ◆ External technical support and assistance





# A Comprehensive Approach Towards Planning

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- ◆ Links between academics, behavior, and school climate
- ◆ Link between all of the Departments Initiatives *conceptually* and *programmatically*.

From: David Osher, Ph.D., Center for Effective Collaboration & Practice, American Institutes for Research





# School Environment

## School Culture

- ♦ tradition & traditions
- ♦ overt culture & covert culture
- ♦ values, beliefs & expectations
- ♦ linguistic environment
- ♦ verbal messages
- ♦ non-verbal messages

## School Climate

- ♦ physical organization
- ♦ learning environment & structure
- ♦ organizational structure
- ♦ socio-emotional dimension
- ♦ demographics

From: David Osher, Ph.D., Center for Effective Collaboration & Practice, American Institutes for Research



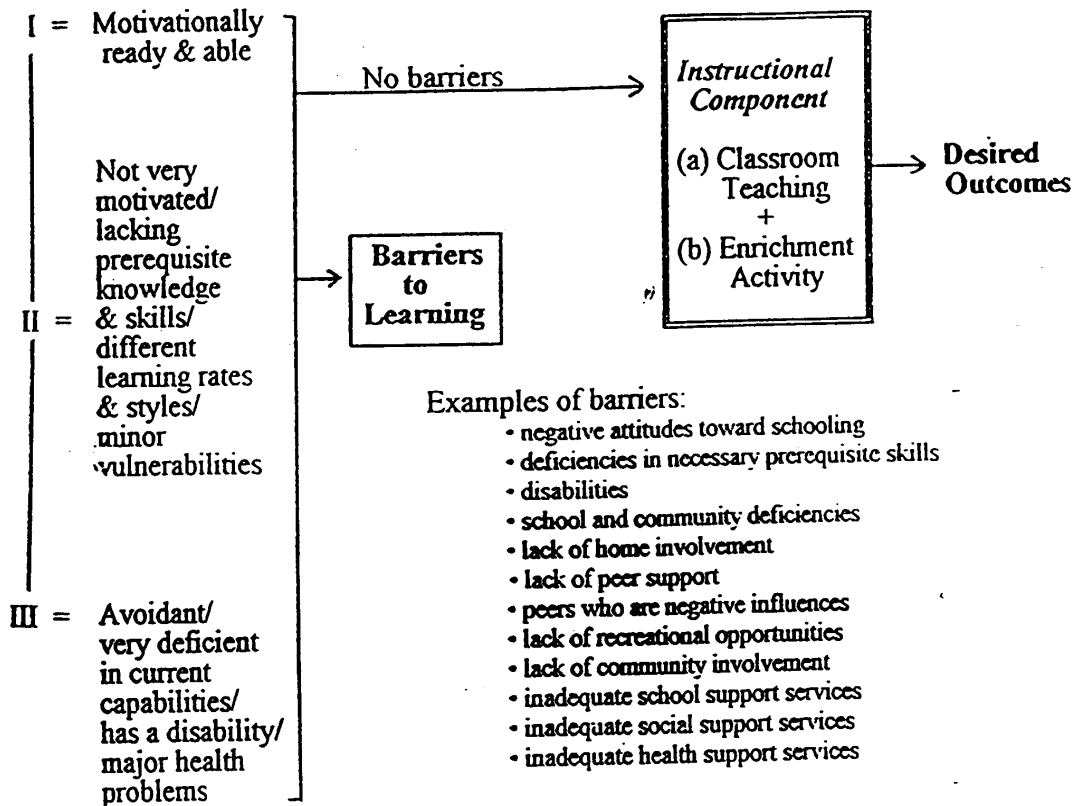
**Comprehensive Centers Network**



# Barriers to Learning

(Harold Adelman, 1997)

**Range of Learners**  
(categorized in terms of their  
response to academic instruction)

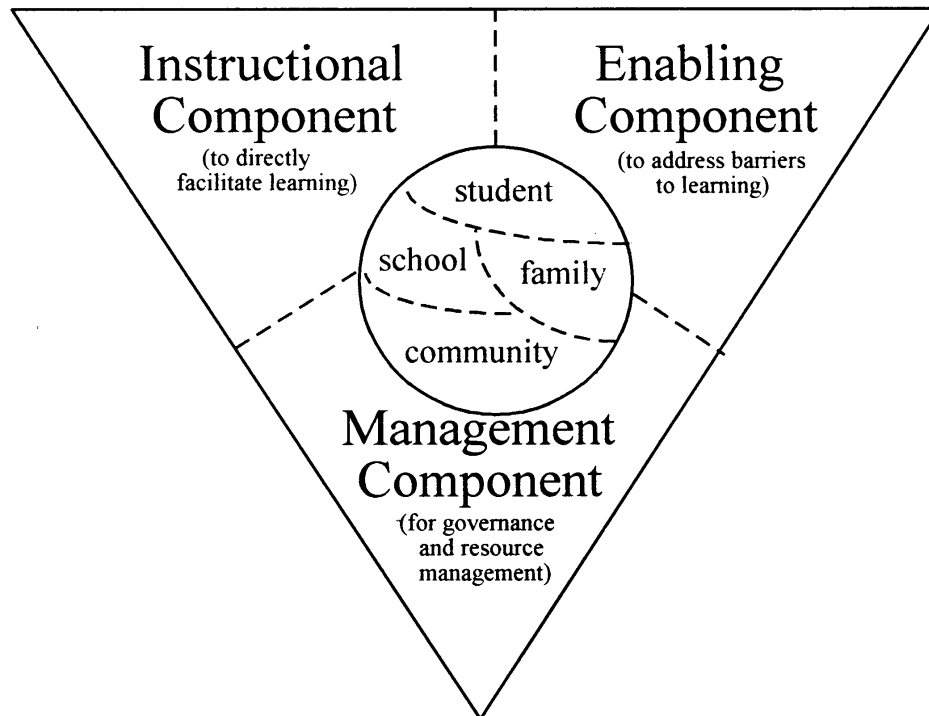


\* Although a few youngsters start out with internal problems and many others internalize negative experiences, there can be little doubt that external factors are primarily responsible for the majority of learning, behavior, and emotional problems encountered in schools.

# A School Reform Model that Addresses Barriers to Learning

## A Three Component Model for Reform and Restructuring

Establishes a component for addressing barriers to learning which is treated as primary and essential and which weaves together school and community resources to develop comprehensive approaches





# School Reform to Address Barriers to Learning

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Prepared by Howard Adelman, Ph.D. and Linda Taylor

UCLA School Mental Health Project

Center for Mental health in Schools at UCLA

<http://smhp.psych.ucla.edu>

If school reforms are to ensure that all students succeed, the reforms must be designed in keeping with what the word all implies. All clearly includes students who are motivationally ready and able to profit from "high standards" curriculum and instruction. But it also includes those who are experiencing **external and internal** barriers that interfere with their benefiting from higher standards and improved instruction.

Most learning, behavior, and emotional problems seen in schools are rooted in failure to address external barriers and learner differences in a comprehensive manner. And, the problems are exacerbated as youngsters internalize the frustrations of confronting barriers and the debilitating effects of performing poorly at school.

How many are affected? Figures vary. Harold Hodgkinson, director of the Center for Demographic Policy, estimates that *40% of young people are in very bad educational shape* and at risk of failing to fulfill their promise. The problems they bring to school stem from restricted opportunities associated with poverty, difficult and diverse family circumstances, lack of English language skills, violent neighborhoods, and inadequate health care. The reality for many large urban schools is that *over 50% of their students manifest significant learning, behavior, and emotional problems.*

The litany of barriers to learning is all too familiar to anyone who lives or works in communities where families struggle with low income. In such neighborhoods, school and community resources often are insufficient to the task of providing the type of basic (never mind enrichment) opportunities found in higher income communities. The resources also are inadequate for dealing with such threats to well-being and learning as gangs, violence, and drugs. Inadequate attention to language and cultural considerations and to high rates of student mobility creates additional barriers not only to student learning but to efforts to involve families in youngsters' schooling.

What do schools do to address barriers to learning? Almost all schools flirt with some forms of preventive and corrective activity focused on learning problems, substance abuse, violence, teen pregnancy, school dropouts, delinquency, and so forth. A few programs are offered in all schools in a district; others are carried out at or linked to targeted schools. Programs may be offered to all students in a school or only to those in specified grades or identified grades or identified as "it risk" and/or in need of compensatory or special education. Few schools, however, come close to having enough resources to address barriers to learning in a comprehensive way -- especially when a large proportion of their students are affected. The fact is that activity to support and enable learning is marginalized at most schools and is implemented in a fragmented and piecemeal manner. This contributes to poorly conceived and designed programs and unsatisfactory results.





# School Reform to Address Barriers to Learning

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In recent years, there has been increasing interest in **school-community collaborations** as one way to provide more support for schools, students, and families. This interest is bolstered by renewed concern for countering widespread fragmentation among community services. Various levels and forms of collaboration are being tested, including state-wide initiatives in California, Florida, Kentucky, Missouri, New Jersey, Ohio, Oregon, among others. **The efforts encompass such ideas as school linked services, coordinated services, wrap-around services, one-stop shopping, full service schools, and community schools.** A reasonable inference from available data is that school-community collaborations can be successful and cost effective over the long-run. They not only improve access to services, they seem to encourage schools to open their doors in ways that enhance recreational, enrichment, and remedial opportunities and family involvement.

Collaboration, however, is not the norm. The majority of programs, services, and special projects function in relative isolation of each other and continue to focus on discrete problems and specialized services for individuals and small groups. The fragmentation is worsened by the failure of educational reform to recognize the need to restructure the work of school professionals who staff student support programs. A related failure stems from deficiencies in on-the-job education. For example, in service training for school staff hardly touches on ways to improve classroom approaches for effectively teaching students with mild-to-moderate behavior and learning problems.

What needs to change? While emphasis on higher standards, accountability, and flexibility is important, such reforms are not enough to turn around most urban schools. **In such settings, raising academic standards, demanding accountability, and offering administrative flexibility are insufficient strategies for addressing the many overlapping barriers that interfere with students learning and teachers teaching. Also insufficient are initiatives to link up a few community resources to school sites and open up Family Resource Centers.**

The present situation is one where, despite awareness of the many barriers to learning, reformers continue to concentrate mainly on improving (1) instruction (efforts to directly facilitate learning) and (2) the management and governance of schools and agencies. Then, in the naive belief that a few health and social services will do the trick, they talk of "integrated health and social services" (usually in terms of linking community services to school sites). There is little talk of restructuring school programs and services designed to support and enable learning, and this neglect continues to marginalize activity that is essential to improving student achievement.

Ultimately, addressing barriers to learning must be approached from a societal perspective and requires fundamental systemic reforms designed to improve efforts to support and enable learning. This calls for developing a comprehensive, integrated continuum of community and school programs. Such a continuum must be multifaceted and woven into three overlapping systems: systems of prevention; systems of early intervention to address problems as soon after onset as feasible; and systems of care for those with chronic and severe problems.



# School Reform to Address Barriers to Learning

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All of this encompasses an array of programmatic activity that (a) enhances regular classroom strategies to improve instruction for students with mild-to-moderate behavior and learning problems, (b) assists students and families as they negotiate the many school-related transitions, (c) increases home and community involvement with schools, (d) responds to and prevents crises, and (e) offers additional assistance to students and their families when necessary. It is unfortunate that most school reformers seem unaware that schools must play a major role in developing such programs and systems if all students are to benefit from higher standards and improved instruction.

Development of a comprehensive, integrated approach that effectively addresses barriers to learning requires cohesive policy that facilitates blending of many resources. In schools, this includes restructuring to combine parallel efforts supported by general funds, compensatory and special education entitlements, safe and drug free school grants, and specially funded projects. In communities, the need is for better ways of connecting agency resources to each other and to schools. The end product should be cohesive and potent school-community partnerships. With proper policy support, a comprehensive approach can be woven into the fabric of every school, and neighboring schools can be linked to share limited resources and achieve economies of scale.

It is time for reform advocates to expand their emphasis on improving instruction and school management to **include a comprehensive component for addressing barriers to learning**. And in doing so, they must pursue this third component with the same level of priority they devote to the other two.

Several initiatives already are exploring the power of moving from a two to a three component model for reform. These include our work related to the concept of an enabling component as a missing and essential third component of reform, the restructuring of student support services by the Los Angeles Unified School District, the adoption of the concept of "learning support" by the California Department of Education, and espousal of a three component model by the **New American Schools' Urban Learning Centers**. Such pioneering efforts offer new hope to students, parents, and teachers. We think greater policy attention to such initiatives is essential if society is to strengthen neighborhoods and communities and create caring and supportive environments that maximize learning and well-being for all youngsters.

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# How could you apply the Principles of Effectiveness for planning Schoolwide Program change?





# Essential Elements of Schoolwide Planning

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- ◆ Build on an existing comprehensive plan
- ◆ Include a comprehensive budget
- ◆ Let the schoolwide plan evolve and grow as changes occur in the school
- ◆ Understand that schools remain eligible for school programs even if their student population drops below the school's initial poverty threshold
- ◆ Define student expectations according to state and local requirements





# Steps for Planning Schoolwide Program Change

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- Step 1: Establishing a Planning Team
- Step 2: Conducting a Comprehensive Needs Assessment
- Step 3: Clarifying Needs and Finding Research-based Strategies
- Step 4: Setting Schoolwide Program Goals
- Step 5: Writing the Schoolwide Plan
- Step 6: Finalizing the Schoolwide Plan





# Apply Principles of Effectiveness to Plan Schoolwide Program Change

